

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.

CSO-0001-P

In Re Application Of: Sophie Chen

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/647,458	08/01/2003	NYA	23,413	1614	2036

Title: **BOTANICAL EXTRACT COMPOSITIONS AND METHODS OF USE**

Address to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
 (Under 37 CFR 1.97(b) or 1.97(c))

 Docket No.
 CSO-0001-P

 In Re Application of: **Sophie Chen**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/647,458	08/01/2003	NYA	23,413	1614	2036

 Title: **BOTANICAL EXTRACT COMPOSITIONS AND METHODS OF USE**
Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 06-1130 as described below.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fa

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on

December 9, 2005

(Date)

Signature of Person Mailing Correspondence

Tasia Hansen

Typed or Printed Name of Person Mailing Certificate

*This certificate may only be used if paying by deposit account.

Karen A. LeCuyer
 Signature

Dated: December 9, 2005

Karen A. LeCuyer Ph. D.
 Reg. No. 51,928
 Phone No. 860-286-2929

CC:

P10A/REV05



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Sophie Chen)	
)	Group Art Unit: 1614
Serial No.:	10/647,458)	
)	Examiner: NYA
Filing Date:	August 1, 2003)	
)	
For:	BOTANICAL EXTRACT)	
	COMPOSITIONS AND METHODS))	
	OF USE)	

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§ 1.56, 1.97 AND 1.98

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with the duty to disclose, submitted herewith is form PTO-A820 (PTO-1449) listing publication(s) of which those designated by 37 CFR § 1.56 are aware. Copies of the non-United States patents or published applications are enclosed.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or an admission that the information cited is, or is considered to be, material to patentability.

Respectfully submitted,

CANTOR COLBURN LLP

By: Karen A. LeCuyer
Karen A. LeCuyer Ph.D.
Registration No. 51,928

Date: December 9, 2005
Customer No. 23,413
(860) 286-2929



INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO.

CSO-0001-P

APP. NO. GAU: 1612

10/647,458

APPLICANT(S)

Sophie Chen

FILING DATE

08/01/2003

GROUP ART UNIT

1614

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 01/66123	9/13/2001	PCT				
	WO 98/09615	3/12/1998	PCT				
	EP 1374880	1/2/2004	Europe				
	EP 0656213	6/7/1995	Europe				
	FR 2658420	8/23/1991	France				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		Japanese Patent No. JP6024975, English Translation.
		Japanese Patent No. JP60178815, Abstract only.

EXAMINER

/Chris Simmons/

DATE CONSIDERED

06/04/2009

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

ATTY DOCKET NO.

CSO-0001-P

APPLICATION NO. GAU: 1612

10/647,458

Sophie Chen

FILING

08/01/2003

GROUP ART

1614

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	EP 0291151	11/17/1998	Europe				
	WO 01/78783	10/25/2001	PCT				
	GB 1476016	6/10/1977	United Kingdom				

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

		Japanese Patent No. JP 09176011, Abstract only.
		Japanese Patent No. JP 61263925, Abstract only.

EXAMINER	/Chris Simmons/	DATE CONSIDERED	06/04/2009
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>	ATTY DOCKET NO. CSO-0001-P	APPLICATION NO. GAU: 1612 10647458
	Sophie Chen	
	FILING 08/01/2003	GROUP ART 1614

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	

U.S. PATENT APPLICATION PUBLICATIONS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
			Hamuro, et al. "Solid phase activation of alternative pathway of complement by b-1,3-glucans and its possible rolde for tumor regressing activity" Immunology, 1978, Vol. 34, pp 695-705.				

EXAMINER <i>/Chris Simmons/</i>	DATE CONSIDERED 06/04/2009
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	